

MINTZ LEVIN

Isaac M. Rutenberg | 650 251 7724 | imrutenberg@mintz.com

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## fax transmittal

## FROM:

Name Isaac M. Rutenberg

Date July 24, 2007

# of Pages 31

## To:

Name	Company	Business#	Fax #
Petitions Office	USPTO		(571) 273-8300

## Comments:

U.S. Patent No. 6,111,121

Issued: August 20, 2000

For "HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES"

by Robert H. GRUBBS et al.

Atty Dkt No. 1950-0032.10

Please see the attached copy of the Petition to Correct Inventorship in Patent that was filed February 15, 2006 for the above-reference patent. The Petition is being resubmitted at the suggestion of Primary Examiner Porfirio Nazario-Gonzalez. If the Petitions Office has any questions regarding the Petition, a telephone call to the undersigned would be appreciated.

Respectfully Submitted,

Isaac M Rutenberg, Reg. No. 57,419  
Patent Agent

Please call us at 650-251-7700 if you experience any problems.

## STATEMENT OF CONFIDENTIALITY

The information contained in this fax is intended for the exclusive use of the addressee and may contain confidential or privileged information. If you are not the intended recipient, you are hereby notified that any form or dissemination of this communication is strictly prohibited. If this fax was sent in error, please immediately notify us by phone.

Mintz, Levin, Cohn, Ferris, Glovsky and Popeo, P.C.

BOSTON | WASHINGTON | NEW YORK | STAMFORD | LOS ANGELES | PALO ALTO | SAN DIEGO | LONDON

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Atty Dkt No.: 1950-0032.10 Mailing Date: February 15, 2006  
Inventor(s): Robert H. GRUBBS et al.  
Patent No.: 6,111,121 Issued Date: August 29, 2000

Document(s):

Check for \$130.00

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Transmittal & Fee Transmittal

Petition to Correct Inventorship under 37 CFR 1.324(a)

Statement of Non-Deceptive Intent executed by Marcia B. France

Statement of Non-Disagreement by Current Named Inventors to Add M.B. France

(signed in counterparts by R.H. Grubbs, P. Schwab & S.T. Nguyen)

Statement of Agreement by Assignee to Change Inventorship & Certification 3.73(b)

Assignment & Notice of Recordation of M.B. France to California Institute of Technology

Assignment & Notice of Recordation of Currently Named Inventors to Calif. Inst. of Tech.

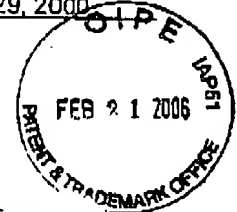
Declaration signed by Marcia B. France

Revocation of Power of Attorney & New Power of Attorney & Change of Corresp. Address

Statement under 37 CFR 3.73(b)

FMR/ks

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**FEB 27 2006**

**REED IP LAW GROUP**



REED INTELLECTUAL PROPERTY LAW GROUP  
1400 PAGE MILL ROAD  
PALO ALTO, CA 94304-1124

Atty Dkt No.: 1950-0032.10

Mailing Date: February 15, 2006

Inventor(s): Robert H. GRUBBS et al.

Patent No.: 6,111,121

Issued Date: August 29, 2000

Document(s):

Check for \$130.00

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Transmittal & Fee Transmittal

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Declaration signed by Marcia B. France

Revocation of Power of Attorney & New Power of Attorney & Change of Corresp. Address

Statement under 37 CFR 3.73(b)

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2/15/06 (70)  
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MID-PENINSULA BANK  
SAN MATEO, CALIFORNIA 94401  
90-4159-1211

2797

2/14/2006

PAY TO THE  
ORDER OF Commissioner for Patents & Trademarks

\$ 130.00

One Hundred Thirty and 00/100\*\*\*\*\*

DOLLARS

Commissioner for Patents & Trademarks

MEMO

1950-0032.10

*M. Regan*

⑈002797⑈ ⑆121141534⑆0283885101⑈

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Patent Number 6,111,121

Issue Date August 29, 2000

First Named Inventor Robert H. GRUBBS

Art Unit 1621

Examiner Name Nazario Gonzalez, Porfirio

Attorney Docket Number 1950-0032.10

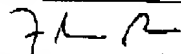
Mail Stop Petition

## ENCLOSURES (Check all that apply)

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> No fee due<br><input checked="" type="checkbox"/> Fee(s) due: \$130.00<br><input checked="" type="checkbox"/> Check enclosed<br><input type="checkbox"/> Charge Deposit Account No. 18-0580<br><input type="checkbox"/> 37 CFR § 1.16<br><input type="checkbox"/> 37 CFR § 1.17<br><input checked="" type="checkbox"/> The Commission is authorized to charge any underpayment or credit any overpayment to Deposit Account No. 18-0580<br><input checked="" type="checkbox"/> Return postcard<br><input type="checkbox"/> Amendment/Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s) -<br>Affidavits/declaration(s)<br><input type="checkbox"/> -Month Extension of Time | <input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Information Disclosure Statement & PTO-1449 Form(s)<br><input type="checkbox"/> Cited reference copy(ies)<br><input type="checkbox"/> Response to Missing Parts / Incomplete Application<br><input type="checkbox"/> Declaration(s) by Inventor(s)<br><input type="checkbox"/> Preliminary Amendment<br><input type="checkbox"/> Updated Application Data Sheet<br><input type="checkbox"/> Drawing(s) - __ Sheets<br><input type="checkbox"/> Compact Disk(s) - __ CD(s)<br><input checked="" type="checkbox"/> Petition to Correct Inventorship<br><input checked="" type="checkbox"/> Statement of Non-Deceptive Intent<br><input checked="" type="checkbox"/> Statement of Non-Disagreement<br><input checked="" type="checkbox"/> Statement of Agreement<br><input checked="" type="checkbox"/> Declaration<br><input checked="" type="checkbox"/> Assignments & Notices of Recordation | <input checked="" type="checkbox"/> Revocation of Power of Attorney with New Power of Attorney & Change of Correspondence Address<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> After Allowance Communication to a Technology Center (TC)<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Other Enclosure(s) (see remarks): |
|--|---|--|


## REMARKS

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name (print/type)	Flavio M. Rose, Reg. No. 40,791 Reed Intellectual Property Law Group	Telephone	(650) 251-7700
Signature		Date	February 15, 2006

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Name (print/type)	Katherine Stofer	Date	February 15, 2006
Signature			

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# FEE TRANSMITTAL for FY 2005

Effective: 10/01/03 Patent fees are subject to annual revision

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT \$130.00

Complete if Known

Patent Number 6,111, 121  
Issued Date August 29, 2000  
First Named Inventor Robert H. GRUBBS et al.  
Examiner Name Nazario Gonzalez Porfirio  
Group Art Unit 1621  
Attorney Docket No. 1950-0032.10

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account

Deposit Account No. 18-0580

Deposit Account Name Reed IP Law Group

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Charge any underpayment or credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING, SEARCH AND EXAMINATION FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	790	2001	395	Utility filing fee (filed on or before 12/8/04)	
1011	300	2011	150	Utility filing fee (filed after 12/8/04)	
1111	500	2111	250	Search Fee	
1311	200	2311	100	Examination Fee	
1081	250	2081	125	For each additional 50 sheets exceeding 100	

SUBTOTAL (1) \$

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	- 20** =	x	=
Multiple Dependent	- 3** =	x	=

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	50	2202	25	Claim in excess of 20	
1201	200	2201	100	Independent claims in excess of 3	
1203	360	2203	180	Multiple dependent claim, if not paid	
1204	200	2204	100	** Reissue independent claims over original patent	
1205	50	2205	25	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) \$

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	120	2251	60	Extension for reply within first month	
1252	450	2252	225	Extension for reply within second month	
1253	1,020	2253	510	Extension for reply within third month	
1254	1,590	2254	795	Extension for reply within fourth month	
1255	2,160	2255	1,080	Extension for reply within fifth month	
1401	500	2401	250	Notice of Appeal	
1402	500	2402	250	Filing a brief in support of an appeal	
1403	1,000	2403	500	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	500	2452	250	Petition to revive - unavoidable	
1453	1,500	2453	750	Petition to revive - unintentional	
1501	1,400	2501	700	Utility issue fee (or reissue)	
1502	800	2502	400	Design issue fee	
1503	1,100	2503	550	Plant issue fee	
1807	50	1807	50	Processing fee under 37 CFR 1.17(g)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	790	2809	395	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	790	2801	395	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
1814	130	2814	65.00	Statutory Disclaimer	
Other fee (specify) Petition processing fee under 37 CFR 1.20(b)					130.00
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					\$130.00

## SUBMITTED BY

Name (Print/Type)	Registration No. (Attorney/Agent)	Telephone	Complete (if applicable)
Flavio M. Rose	40,791	(650) 251-7700	
Signature	Date		
	February 15, 2006		

JUL 24 2007

Atty Dkt No. 1950-0032.10  
Caltech No. CIT-2123-4D1  
PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re U.S. Patent of:  
Robert H. GRUBBS et al.

Patent No.: 6,111,121

Issued Date: August 29, 2000

Title: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE  
COMPLEXES**PETITION TO CORRECT INVENTORSHIP IN PATENT**  
**UNDER 37 CFR § 1.324(A)**Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This is a petition to correct the inventorship of the subject patent so as to add Marcia B. France as a named joint inventor of the subject patent. The currently named inventors are Robert H. Grubbs, Peter Schwab, and Sonbinh T. Nguyen.

Pursuant to 37 CFR § 1.324(b), enclosed are the following documents in support of this petition:

1. Statement of Non-Deceptive Intent By Person Being Added By Petition to Change Inventorship in Patent, executed by Marcia B. France;
2. Statement of Non-Disagreement By Currently Named Inventors to Add Marcia B. France as a Joint Inventor in Patent, executed by Robert H. Grubbs, Peter Schwab and Sonbinh T. Nguyen;
3. Statement of Agreement by Assignee to Change Inventorship in Patent and Certification Under 37 CFR § 3.73(b);
4. Assignment from Currently Named Inventors to California Institute of Technology;
5. Assignment from Inventor Marcia B. France to California Institute of Technology;
6. Declaration signed by Marcia B. France;



JUL 24 2007

Atty Dkt No. 1950-0032.10  
Patent No. 6,111,121

7. Revocation of Power of Attorney with New Power of Attorney and Change of Correspondence Address, executed by Assignee;

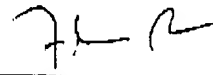
8. A check for \$130 to cover the fee set forth in 37 CFR § 1.20(b) required for filing this petition.

Thus, by way of this petition, favorable consideration to add Marcia B. France as a joint inventor in the subject patent is respectfully solicited.

The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or to credit any overpayment, to Deposit Account No. 18-0580.

Respectfully submitted,

By:

  
\_\_\_\_\_  
Flavio M. Rose  
Registration No. 40,791

REED IP LAW GROUP  
1400 Page Mill Road  
Palo Alto, California 94304-1124  
(650) 251-7700 Telephone  
(650) 251-7739 Facsimile

F:\Documents\1950\0032\10\Correct Inventionship Petition.DOC

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In Re U.S. Patent of:

Robert H. GRUBBS et al.

Patent No.: 6,111,121

Issue Date: August 29, 2000

Title: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE  
COMPLEXES

**STATEMENT OF NON-DECEPTIVE INTENT BY THE PERSON  
BEING ADDED BY PETITION TO CHANGE INVENTORSHIP IN PATENT UNDER 37  
C.F.R. § 1.324(A)**

Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I, Marcia B. France, hereby declare as follows:

1. That I am a co-inventor of U.S. Patent No. 6,111,121, filed on August 29, 2000, along with Robert H. Grubbs, Peter Schwab and Sonbinh T. Nguyen.
2. That it has now become apparent that the inventorship of the above referenced patent application was originally incorrectly identified as being Robert H. Grubbs, Peter Schwab and Sonbinh T. Nguyen, and that such identification was done without any deceptive intention on my part.

The undersigned further declares that all statements made herein of her own knowledge are true and that all statements on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the above-referenced patent.

Respectfully submitted,

By: Marcia B France

Name: Marcia B. France

Date: May 27, 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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JUL 24 2007

In Re U.S. Patent of:  
Robert H. GRUBBS et al.

Patent No.: 6,111,121

Issue Date: August 29, 2000

Title: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE  
COMPLEXES

STATEMENT OF NON-DISAGREEMENT BY CURRENTLY NAMED INVENTORS  
TO ADD MARCIA B. FRANCE AS A JOINT INVENTOR IN PATENT

Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

We, Robert H. Grubbs, Peter Schwab, and Sonbinh T. Nguyen, the currently named inventors of the subject patent, are in non-disagreement to add Marcia B. France as a joint inventor in the subject patent. Accordingly, by Petition to Correct Inventorship in Patent Under 37 CFR § 1.324(a) submitted concurrently herewith, please add Marcia B. France as a joint inventor in the subject patent.

Respectfully submitted,

Date:

May 15, 2005

By:

[Signature]  
Robert H. Grubbs  
First Joint Inventor

Date:

\_\_\_\_\_

By:

\_\_\_\_\_  
Peter Schwab  
Second Joint Inventor

Date:

\_\_\_\_\_

By:

\_\_\_\_\_  
Sonbinh T. Nguyen  
Third Joint Inventor

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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JUL 24 2007

In Re U.S. Patent of:  
Robert H. GRUBBS et al.

Patent No.: 6,111,121

Issue Date: August 29, 2000

Title: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE  
COMPLEXES

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TO ADD MARCIA B. FRANCE AS A JOINT INVENTOR IN PATENT

Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

We, Robert H. Grubbs, Peter Schwab, and Sonbinh T. Nguyen, the currently named inventors of the subject patent, are in non-disagreement to add Marcia B. France as a joint inventor in the subject patent. Accordingly, by Petition to Correct Inventorship in Patent Under 37 CFR § 1.324(a) submitted concurrently herewith, please add Marcia B. France as a joint inventor in the subject patent.

Respectfully submitted,

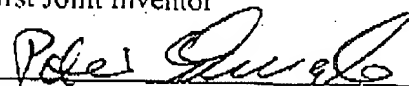
Date: \_\_\_\_\_

By: \_\_\_\_\_

Robert H. Grubbs  
First Joint Inventor

Date: 11/3/2005

By: \_\_\_\_\_

  
Peter Schwab  
Second Joint Inventor

Date: \_\_\_\_\_

By: \_\_\_\_\_

Sonbinh T. Nguyen  
Third Joint Inventor

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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JUL 24 2007

In Re U.S. Patent of:  
Robert H. GRUBBS et al.

Patent No.: 6,111,121

Issue Date: August 29, 2000

Title: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE  
COMPLEXES

**STATEMENT OF NON-DISAGREEMENT BY CURRENTLY NAMED INVENTORS  
TO ADD MARCIA B. FRANCE AS A JOINT INVENTOR IN PATENT**

Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

We, Robert H. Grubbs, Peter Schwab, and Sonbinh T. Nguyen, the currently named inventors of the subject patent, are in non-disagreement to add Marcia B. France as a joint inventor in the subject patent. Accordingly, by Petition to Correct Inventorship in Patent Under 37 CFR § 1.324(a) submitted concurrently herewith, please add Marcia B. France as a joint inventor in the subject patent.

Respectfully submitted,

Date: \_\_\_\_\_

By: \_\_\_\_\_  
Robert H. Grubbs  
First Joint Inventor

Date: \_\_\_\_\_

By: \_\_\_\_\_  
Peter Schwab  
Second Joint Inventor

Date: \_\_\_\_\_

By: \_\_\_\_\_  
Sonbinh T. Nguyen  
Third Joint Inventor

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re U.S. Patent of:  
Robert H. GRUBBS et al.

Patent No.: 6,111,121

Issue Date: August 29, 2000

Title: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE  
COMPLEXES

RECEIVED  
CENTRAL FAX CENTER  
JUL 24 2007

**STATEMENT OF AGREEMENT BY ASSIGNEE TO CHANGE INVENTORSHIP IN  
PATENT AND CERTIFICATION UNDER 37 CFR § 3.73(B)**

Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

California Institute of Technology, the assignee of the subject patent, is in full agreement with the currently named inventors, Robert H. Grubbs, Peter Schwab, and Sonbinh T. Nguyen, to add Marcia B. France as a joint inventor in the subject patent. Accordingly, by Petition to Correct Inventorship in Patent Under 37 CFR § 1.324(a) submitted concurrently herewith, please add Marcia B. France as a joint inventor in the subject patent.

California Institute of Technology, a corporation duly organized under and pursuant to the laws of California, and having its principal place of business at 1200 East California Boulevard, Pasadena, California 91125, certifies that it is the assignee of the entire right, title and interest in the U.S. patent identified above by virtue of an Assignment from each of the inventors of the U.S. patent identified above. The Assignments were recorded in the Patent and Trademark Office on October 16, 1996 at Reel 8183, Frame 0314 (in connection with parent application Serial No. 08/693,789, filed July 31, 1996, now U.S. Patent No. 5,831,108, issued November 3, 1998), and on January 23, 2006 at Reel 017045, Frame 0461. Copies of the Assignments are attached.

The undersigned has reviewed the Assignments of the U.S. patent identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

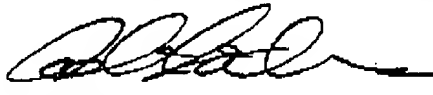
I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are true; and further that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under 18 USC § 1001, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Respectfully submitted,

CALIFORNIA INSTITUTE OF TECHNOLOGY

JAN 31 2006  
Date: \_\_\_\_\_

By: \_\_\_\_\_

  
Adam Cochran  
Intellectual Property Counsel

California Institute of Technology  
1200 East California Boulevard  
MC 201-85  
Pasadena, California 91125





COPY

## UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JANUARY 24, 2006

PTAS



\*500072821A\*

FLAVIO M. ROSE  
1400 PAGE MILL ROAD  
PALO ALTO, CA 94304-1124UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, MAIL STOP: ASSIGNMENT SERVICES DIVISION, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 01/23/2006

REEL/FRAME: 017045/0461  
NUMBER OF PAGES: 3BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).  
DOCKET NUMBER: 1950-0032.10

## ASSIGNOR:

FRANCE, MARCIA B.

DOC DATE: 05/27/2005

## ASSIGNEE:

CALIFORNIA INSTITUTE OF TECHNOLOGY  
1200 EAST CALIFORNIA BOULEVARD  
PASADENA, CALIFORNIA 91125

SERIAL NUMBER: 09007498

FILING DATE: 01/15/1998

PATENT NUMBER: 6111121

ISSUE DATE: 08/29/2000

TITLE: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES

02/15/2006 17:04 FAX 703 308 7

USPTO ASSIGNMENT DIV.

0003

017045/0461 PAGE 2

ALLYSON PURNELL, EXAMINER  
ASSIGNMENT SERVICES BRANCH  
PUBLIC RECORDS DIVISION

## PATENT ASSIGNMENT

Electronic Version v1.1  
Stylesheet Version v1.1

01/23/2006  
500072821

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
Marcia B. France	05/27/2005
RECEIVING PARTY DATA	
Name:	California Institute of Technology
Street Address:	1200 East California Boulevard
City:	Pasadena
State/Country:	CALIFORNIA
Postal Code:	91125
PROPERTY NUMBERS Total: 1	
Property Type	Number
Patent Number:	6111121
CORRESPONDENCE DATA	
Fax Number:	(850)251-7739
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	(850) 251-7700
Email:	kstofer@readpatent.com
Correspondent Name:	Flavio M. Rose
Address Line 1:	1400 Page Mill Road
Address Line 4:	Palo Alto, CALIFORNIA 94304-1124
ATTORNEY DOCKET NUMBER:	1950-0032.10
NAME OF SUBMITTER:	Flavio M. Rose
Total Attachments: 2 source=Assignment - France#page1.tif source=Assignment - France#page2.tif	

CH \$40.00 6111121

JUL 24 2007

Atty Dkt No. 1950-0032.10  
SOLE

### ASSIGNMENT

THIS ASSIGNMENT, by Marcia B. France (hereinafter referred to as the assignor), residing at 16 Whitmore Street, Lexington, VA 24450, witnesseth:

WHEREAS, the said assignor has invented certain new and useful improvements in HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES set forth in United States Patent No. 6,111,121, issued August 29, 2000; and WHEREAS, California Institute of Technology, a corporation duly organized under and pursuant to the laws of California, and having its principal place of business at 1200 East California Boulevard, Pasadena, CA 91125 (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said Letters Patent or Patents, United States or foreign, and to be obtained therefor and thereon:

NOW THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient considerations, the receipt of which is hereby acknowledged, said assignor has sold, assigned, transferred and set over, and by these presents does sell, assign, transfer and set over, unto the assignee, its successors, legal representatives and assigns, her entire right, title and interest in and to the above-mentioned invention, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations, and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee, for its own use and behoof and the use and behoof of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignor, had this sale and assignment not been made.

AND for the same consideration, said assignor hereby covenants and agrees to and with said assignee, its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignor is the sole and lawful owner of her entire right, title and interest in and to said inventions and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignor has good and full right and lawful authority to sell and convey the same in the manner herein set forth.

Atty Dkt No. 1950-0032.10  
SOLE

AND for the same consideration, said assignor hereby covenants and agrees to and with said assignee, its successors, legal representatives and assigns, that said assignor will, whenever counsel of said assignee, or the counsel of its successors, legal representatives and assigns, shall advise that any proceeding in connection with said invention, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said invention in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said invention, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

AND said assignor hereby requests the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said invention and the Letters Patent to be issued thereon for the sole use and behoof of said assignee, its successors, legal representatives and assigns.

Date:

May 27, 2005Marcia B. France  
Name of Inventor: Marcia B. France

F:\Document\1950\0032\10\Assignment - France.doc



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

DECEMBER 17, 1996

LIMBACH & LIMBACH, L.L.P.  
W. PATRICK BENGTSSON  
2001 FERRY BUILDING  
SAN FRANCISCO, CA 94111

PTAS

RECEIVED

DEC 23 1996

LIMBACH & LIMBACH



COPY

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/16/1996

REEL/FRAME: 8183/0314  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
GRUBBS, ROBERT H.

DOC DATE: 08/22/1996

ASSIGNOR:  
SCHWAB, PETER

DOC DATE: 08/26/1996

ASSIGNOR:  
NGUYEN, SONBINH T.

DOC DATE: 08/30/1996

ASSIGNEE:  
CALIFORNIA INSTITUTE OF TECHNOLOGY  
1201 EAST CALIFORNIA BOULEVARD  
PASADENA, CALIFORNIA 91125

SERIAL NUMBER: 08693789  
PATENT NUMBER:

FILING DATE: 07/31/1996  
ISSUE DATE:

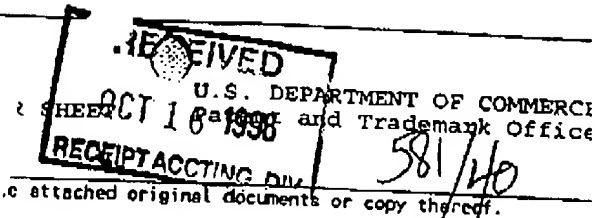
8183/0314 PAGE 2

PEARLENE FOSTER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

10-22-1996



100291592



To the Honorable Commissioner of Patents and Trademarks

1. Name of conveying party(ies):

ROBERT H. GRUBBS  
PETER SCHWAB  
SONBINH T. NGUYEN

10-16-96

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: 8/22, 26, 30, 1996

2. Name and address of receiving party(ies):

Name: California Institute of Technology

Internal Address:

Street Address: 1201 East California Boulevard

City, State and Zip: Pasadena, California 91125

Additional Name(s) & address(es) attached?

☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)  
08/693,789

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: W. Patrick Bengtsson

Internal Address: Limbach & Limbach L.L.P.  
Street Address: 2001 Ferry Building  
City, State, ZIP: San Francisco, California 94111  
Telephone: (415) 433-4150  
Facsimile: (415) 433-8716

Attorney Docket No. CTCH-1620

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41):.....\$ 40.00

- ☒ Enclosed  
☒ Charge any deficiencies in the enclosed fee to  
Deposit Account No. 12-1420  
☐ Authorized to be charged to deposit account

8. Deposit account number: 12-1420

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

W. Patrick Bengtsson, Reg. No. 32,456

Name of Person Signing

160 DH 10/21/96 08693789

*W. Patrick Bengtsson*  
Signature

1 581

Total number of pages including cover sheet, attachments and document: 4

10-10-96

Date

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of Information Collection.



ASSIGNMENT

WHEREAS, WE, ROBERT H. GRUBBS, PETER SCHWAB, SONBINH T. NGUYEN, hereinafter referred to as "ASSIGNORS", have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES  
Application (Declaration/Oath) Execution Date: 8/22, 26, 30, 1996  
Filing Date: July 31, 1996 Application No.: 08/693,789

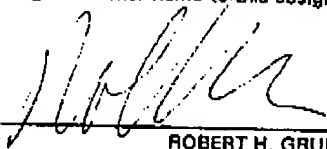
WHEREAS, California Institute of Technology, a corporation of the State of California, 1201 East California Boulevard, Pasadena, California 91125 hereinafter referred to as "ASSIGNEE", is desirous of acquiring the entire right, title and interest in the said invention and application and in any Letters Patent which may be granted on the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for One Dollar (\$1.00) and other good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have sold, assigned and transferred, and by these presents do sell, assign and transfer unto the said Assignee, and Assignee's successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, prolongations or extensions thereof, said interest to be held and enjoyed by said Assignee as fully and exclusively as it would have been held and enjoyed by said Assignors had this assignment and transfer not been made, to the full end and term of any such Letters Patent.

Assignors further agree that they will, without charge to said Assignee, but at Assignee's expense, cooperate with Assignee in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as Assignee lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: 8-22-96

  
ROBERT H. GRUBBS

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_

\_\_\_\_\_  
PETER SCHWAB

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_

\_\_\_\_\_  
SONBINH T. NGUYEN

ASSIGNMENT

WHEREAS, WE, ROBERT H. GRUBBS, PETER SCHWAB, SONBINH T. NGUYEN, hereinafter referred to as "ASSIGNORS", have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES  
Application (Declaration/Oath) Execution Date: 8/22, 26, 30, 1996  
Filing Date: July 31, 1996 Application No.: 08/693,789

WHEREAS, California Institute of Technology, a corporation of the State of California, 1201 East California Boulevard, Pasadena, California 91125 hereinafter referred to as "ASSIGNEE", is desirous of acquiring the entire right, title and interest in the said invention and application and in any Letters Patent which may be granted on the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for One Dollar (\$1.00) and other good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have sold, assigned and transferred, and by these presents do sell, assign and transfer unto the said Assignee, and Assignee's successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, prolongations or extensions thereof, said interest to be held and enjoyed by said Assignee as fully and exclusively as it would have been held and enjoyed by said Assignors had this assignment and transfer not been made, to the full end and term of any such Letters Patent.

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IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_

\_\_\_\_\_  
ROBERT H. GRUBBS

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: 08/26/96

\_\_\_\_\_  
Peter Schwab  
PETER SCHWAB

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_

\_\_\_\_\_  
SONBINH T. NGUYEN

ASSIGNMENT

WHEREAS, WE, ROBERT H. GRUBBS, PETER SCHWAB, SONBINH T. NGUYEN, hereinafter referred to as "ASSIGNORS", have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES  
Application (Declaration/Oath) Execution Date: 8/22, 26, 30, 1996  
Filing Date: July 31, 1996 Application No.: 08/693,789

WHEREAS, California Institute of Technology, a corporation of the State of California, 1201 East California Boulevard, Pasadena, California 91125 hereinafter referred to as "ASSIGNEE", is desirous of acquiring the entire right, title and interest in the said invention and application and in any Letters Patent which may be granted on the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for One Dollar (\$1.00) and other good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have sold, assigned and transferred, and by these presents do sell, assign and transfer unto the said Assignee, and Assignee's successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, prolongations or extensions thereof, said interest to be held and enjoyed by said Assignee as fully and exclusively as it would have been held and enjoyed by said Assignors had this assignment and transfer not been made, to the full end and term of any such Letters Patent.

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IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_

\_\_\_\_\_  
ROBERT H. GRUBBS

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_

\_\_\_\_\_  
PETER SCHWAB

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: 8/30/96

  
\_\_\_\_\_  
SONBINH T. NGUYEN

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JUL 24 2007

DECLARATION FOR UTILITY PATENT APPLICATION

AS A BELOW-NAMED INVENTOR, I HEREBY DECLARE THAT:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent has been obtained for the invention entitled "HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES," which

☒ was issued on August 29, 2000, and assigned U.S. Patent No. 6,111,121.

I HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

I acknowledge and understand that I am an individual who has a duty to disclose information which is material to the patentability of the claims of this application in accordance with Title 37, Code of Federal Regulations, §§ 1.56(a) and (b), which state:

- (a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is canceled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:
  - (1) prior art cited in search reports of a foreign patent office in a counterpart application, and
  - (2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.
- (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and
  - (1) It establishes, by itself or in combination with other information, a *prima facie* case of unpatentability of a claim; or
  - (2) It refutes, or is inconsistent with, a position the applicant takes in:
    - (i) Opposing an argument of unpatentability relied on by the Office, or
    - (ii) Asserting an argument of patentability.

A *prima facie* case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

I do not know and do not believe this invention was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to said application. This invention was not in public use or on sale in the United States of America more than one year prior to this application. This invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on any application filed by me or my legal representatives or assigns more than one year prior to this application.

I hereby claim priority benefits under Title 35, United States Code § 119(e)(1) of any United States provisional application(s) for patent as indicated below. I hereby claim benefit under Title 35, United States Code § 120 of any United States Patent application(s) listed below and, insofar as the subject matter of each of the claims of this application are not disclosed in the prior United States applications in the manner provided by the first paragraph of Title 35, United States Code, section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulation, section 1.56(a) which occurred between the earliest filing date of the prior applications and the filing date of this application.

Application No.	Date of Filing (day/month/year)	Priority Claimed
08/693,789	31 July 1996	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
60/001,862	3 August 1995	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
60/003,973	19 September 1995	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Signature: Marcia B France Date: May 27, 2005  
Full Name of Inventor: Marcia B. France  
Citizenship: USA  
Residence: Lexington, VA  
Post Office Address: 16 Whitmore Street, Lexington, VA 24450

JUL 24 2007

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number  
Approved for use through 11/30/2005. OMB 0651-0035  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

**REVOCATION OF POWER OF  
ATTORNEY WITH  
NEW POWER OF ATTORNEY  
AND  
CHANGE OF CORRESPONDENCE ADDRESS**

Application Number	6.111.121
Filing Date	August 29, 2000
First Named Inventor	Robert Grubbs
Art Unit	1621
Examiner Name	Nazario Gonzalez Porfirio
Attorney Docket Number	1950-0032.10

I hereby revoke all previous powers of attorney given in the above-identified application.

☐ A Power of Attorney is submitted herewith.

OR

☒ I hereby appoint the practitioners associated with the Customer Number: 23980

☒ Please change the correspondence address for the above-identified application to:

☒ The address associated with  
Customer Number:

23980


OR

<input type="checkbox"/> Firm or Individual Name	Reed Intellectual Property Law Group				
Address	1400 Page Mill Road				
City	Palo Alto	State	CA	Zip	94304
Country	USA				
Telephone	650-251-7700	Email			

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

Signature			
Name	Adam Cochran, IP Counsel, California Institute of Technology		
Date	JAN 31 2006	Telephone	626-395-4567

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

## STATEMENT UNDER 37 C.F.R. §3.73(b)

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TO THE COMMISSIONER FOR PATENTS

JUL 24 2007

In re application of: Robert H. GRUBBS et al.  
 Patent No.: 6,111,121  
 Issued Date: August 29, 2000  
 Entitled: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES

California Institute of Technology, a university, certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either

A. ☒ An assignment from the inventors of the patent application identified above. The assignment was recorded in the United States Patent and Trademark Office.

1. From: Robert H. GRUBBS et al. To: California Institute of Technology  
 The document was recorded in the Patent and Trademark Office at Reel 8183, Frame 0314, or for which a copy thereof is attached.
2. From: Marcia B. FRANCE To: California Institute of Technology  
 The document was recorded in the Patent and Trademark Office at Reel 017045, Frame 0461, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s) of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
 The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
 The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title of the patent application identified above and, to the best of the undersigned's knowledge and belief, title is in the assignee identified above.

- ☐ Copies of assignments or other documents in the chain of title are attached.
- a.)
  - b.)
  - c.)

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are true; and further that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Assignee



Name: Adam Cochran

Title: Intellectual Property Counsel

JAN 31 2006

Date